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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. |
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| 09/530,772 | 06/13/00 | BRAHMBHATT | H 50179-080 |

HM32/0221

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| EXAMINER |
|----------------|
| CHAKRABARTI, A |

| ART UNIT | PAPER NUMBER |
|----------|--------------|
| 1655 | 10 |

DATE MAILED: 02/21/01

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks



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EXAMINER

CHAKRABARTI, A

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Commissioner of Patents and Trademarks

Office Action Summary

Application No.

09/530,772

Applicant(s)

Brahmbhatt

Examiner

Arun Chakrabarti

Group Art Unit

1655



☒ Responsive to communication(s) filed on May 4, 2000

☐ This action is **FINAL**.

☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

A shortened statutory period for response to this action is set to expire 3 month(s), or thirty days, whichever is longer, from the mailing date of this communication. Failure to respond within the period for response will cause the application to become abandoned. (35 U.S.C. § 133). Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

Disposition of Claims

☒ Claim(s) 1-19 is/are pending in the application.

Of the above, claim(s) _____ is/are withdrawn from consideration.

☐ Claim(s) _____ is/are allowed.

☒ Claim(s) 1-19 is/are rejected.

☐ Claim(s) _____ is/are objected to.

☐ Claims _____ are subject to restriction or election requirement.

Application Papers

☐ See the attached Notice of Draftsperson's Patent Drawing Review, PTO-948.

☐ The drawing(s) filed on _____ is/are objected to by the Examiner.

☐ The proposed drawing correction, filed on _____ is ☐ approved ☐ disapproved.

☐ The specification is objected to by the Examiner.

☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

☒ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

☒ All ☐ Some* ☐ None of the CERTIFIED copies of the priority documents have been

☒ received.

☐ received in Application No. (Series Code/Serial Number) _____

☐ received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

*Certified copies not received: _____

☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

☒ Notice of References Cited, PTO-892

☒ Information Disclosure Statement(s), PTO-1449, Paper No(s). 6

☐ Interview Summary, PTO-413

☐ Notice of Draftsperson's Patent Drawing Review, PTO-948

☐ Notice of Informal Patent Application, PTO-152

--- SEE OFFICE ACTION ON THE FOLLOWING PAGES ---

Art Unit: 1655

DETAILED ACTION

Claim Rejections - 35 USC § 112

1. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

2. Claims 1-16 are rejected over the recitation of the phrase, "heterologous peptide". It is not clear if the peptides derived from different species are claimed or peptides not exhibiting biological homology are claimed or peptides derived from different or non-allelic genes are claimed or peptides not belonging to or consisting of a chemical series whose successive members have a regular difference in composition are claimed or all of the above mentioned characteristics are claimed in the instant invention. The metes and bounds of the claims are vague and indefinite.

Claims 2-12 and 14 recites the limitation "A" in vector and host cell. There is insufficient antecedent basis for this limitation in the claim. Therefore, claims 2-12 and 14 are rejected under 35 U.S.C. 112.

Claims 15-19 are rejected as being indefinite because the instantly claimed methods lack a final process step that clearly relates back to the preamble. For the method of claim 15, the preamble of the instantly claimed method is drawn to a method of expressing a heterologous peptide in a selected host cell while the final process step is that of bringing about cleavage of the

Art Unit: 1655

suicide expression vector and it is thus unclear as to whether the instantly claimed method is drawn to method of expressing a heterologous peptide in a selected host cell, or rather bringing about cleavage of the suicide expression vector. Similarly, for the method of claim 17, the preamble of the instantly claimed method is drawn to a method of production of a microorganism vector while the final process step is that of bringing about cleavage of the suicide expression vector and it is thus unclear as to whether the instantly claimed method is drawn to method of production of a microorganism vector or rather bringing about cleavage of the suicide expression vector. Method claim requires a last step or phrase in the last step that states the accomplishments of the goals for the method which were stated in the method's preamble. Claims 1 and 35 lack such a last step and are confusing because the additional method step is not sufficiently set forth. While minute details are not required in method claims, at least the basic steps must be recited in a positive, active fashions. See *Ex parte Erlich*, 3 USPQ2d1011, p.1011 (Bd. Pat. Applicant. Int. 1986). It is suggested that an amended claim more clearly describing the intended steps be submitted.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Art Unit: 1655

4. Claims 1, 2, 6, 8 and 13-19 are rejected under 35 U.S.C. 102 (b) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567).

Herrero et al. teach a suicide expression vector for expressing heterologous peptide, polypeptide or protein in a selected host cell (Abstract), the vector comprising :

(I) a first nucleotide sequence encoding the heterologous peptide, polypeptide or protein operably linked to a first promoter sequence (Figure 3, Figure 7 and Page 6500, column 1, Construction of arsenite resistance cassette subsection) ;

(ii) a second nucleotide sequence encoding a restriction enzyme (transposase) or functional portion thereof operably linked to a second promoter (lac) sequence, the second promoter sequence being inducible (Figures 2 , 3 and 7); and

(iii) one or more cleavage site(s) for the restriction enzyme or functional portion thereof, the cleavage site(s) being absent from the chromosomal DNA of the host cell (Tn5-site in Figures 2 and 7),

wherein upon introduction of the vector into the host cell, induced expression of the restriction enzyme transposase or functional portion thereof from the second nucleotide sequence brings about the cleavage of the suicide expression vector (Abstract and Figure 7).

Herrero et al. teach a suicide expression vector wherein the first nucleotide sequence encodes a protein (Figure 3, Figure 7 and Page 6500, column 1, Construction of arsenite resistance cassette subsection).

Art Unit: 1655

Herrero et al. teach a bacterium host cell transformed with a suicide expression vector (Abstract and Figure 9).

Herrero et al. teach a method of expressing a heterologous peptide, polypeptide or protein in a selected host cell (Abstract, Figure 3 and Results and Discussion Section), comprising:

- (I) transforming the bacterium host cell with a suicide expression vector (Figure 9);
- (ii) culturing the transformed host cell under suitable conditions for the expression of the heterologous peptide, polypeptide or protein (Figure 9 and Tn5- based transposon vector delivery system, page 6562, column 2) ; and
- (iii) thereafter inducing expression of the restriction enzyme or functional portion thereof to bring about the cleavage of the suicide expression vector (Abstract, Figure 3 and Results and Discussion Section).

Herrero et al. teach a method for the production of a microorganism vector which contains recombinant peptide, polypeptide or protein but no recombinant DNA (Abstract and Figure 9B), comprising:

- (I) transforming the bacterium host cell with a suicide expression vector (Figure 9B);
- (ii) culturing the transformed host cell under suitable conditions for the expression of the heterologous peptide, polypeptide or protein (Figure 9B) ; and
- (iii) thereafter inducing expression of the restriction enzyme or functional portion thereof to bring about the cleavage of the suicide expression vector (Figure 9B).

Herrero et al. teach a method wherein the microorganism is a bacterium (Abstract).

Art Unit: 1655

Herrero et al. teach a suicide expression vector wherein the second nucleotide sequence encodes a restriction enzyme that recognize a cleavage site(s) of ten or more nucleotides (Figure 7).

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103© and potential 35 U.S.C. 102(f) or (g) prior art under 35 U.S.C. 103(a).

6. Claims 1, 2, 6, 7, 8 and 13-19 are rejected under 35 U.S.C. 103 (a) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567) in view of Marshall et al. (U.S. Patent 5,420,032) (May 30, 1995).

Herrero et al teach the suicide vector of claims 1, 2, 6, 8 and 13-19 as described above.

Art Unit: 1655

Herrero et al do not teach the suicide vector wherein the second nucleotide sequence encodes a restriction enzyme selected from I-CeuI.

Marshall et al. teach the suicide expression vector wherein a nucleotide sequence encodes a restriction enzyme selected from I-CeuI (Abstract, Figures 1-9 , Examples 1 and Columns 17-18).

Herrero et al. do not teach a suicide expression vector wherein the one or more cleavage site(s) are located at site(s) on the vector which avoids steric hindrance of binding by the restriction enzyme.

Marshall et al. teach a suicide expression vector wherein the one or more cleavage site(s) are located at site(s) on the vector which avoids steric hindrance of binding by the restriction enzyme.(Figures 1, 3 and 5).

It would have been *prima facie* obvious to one having ordinary skill in the art at the time the invention was made to substitute and combine the nucleotide sequence encoding a restriction enzyme selected from I-CeuI of Marshall et al. with the suicide expression vector of Herrero et al. since Marshall et al state, "All of the above results demonstrate that naturally occurring or synthetic substrates bearing base-pair substitutions (degenerate DNA sequence) can be recognized and cleaved by I-CeuI, a novel homing endonuclease, which will be useful as a "restriction" enzyme for cleaving low frequency sequence, because of its long recognition sequence (Column 18, lines 62-68)". Furthermore, this is also obvious that transposase gene may not be required to be integrated in the vector when transpositions are not needed in different

Art Unit: 1655

location of the chromosomes and may be substituted with customized restriction enzyme of choice. An ordinary practitioner would have been motivated to substitute and combine the nucleotide sequence encoding a restriction enzyme selected from I-CeuI of Marshall et al. with the suicide expression vector of Herrero et al. , in order to achieve the express advantages, as noted by Marshall et al., of a novel homing endonuclease, which will be useful as a "restriction" enzyme for cleaving low frequency sequence, because of its long recognition sequence.

7. Claims 1, 2, 3, 6, 7, 8 and 13-19 are rejected under 35 U.S.C. 103 (a) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567) in view of Hardy et al. (U.S. Patent 5,851,817) (December 22, 1998).

Herrero et al. teach suicide expression vector of claims 1, 2, 6, 8 and 13-19 as described above.

Herrero et al. do not teach the suicide expression vector wherein the first nucleotide sequence encodes a contraceptive antigen.

Hardy et al. teach the suicide expression vector wherein the first nucleotide sequence encodes a contraceptive antigen (Abstract, Figure 10 and Example II).

It would have been *prima facie* obvious to one having ordinary skill in the art at the time the invention was made to substitute and combine the contraceptive antigen of Hardy et al. with the suicide expression vector of Herrero et al. since Hardy et al state, "Also disclosed are methods for speciating mammalian eggs, identifying species-specific sperm, and proving contraception in a mammalian population. Specifically disclosed are nucleic acid sequences and

Art Unit: 1655

the corresponding amino acid sequences of specific sperm membrane proteins they encode, whose identification and characterization have permitted development of species-specific contraceptive and fertility compositions and methods (Abstract)". An ordinary practitioner would have been motivated to substitute and combine the contraceptive antigen of Hardy et al. with the suicide expression vector of Herrero et al., in order to achieve the express advantages, as noted by Hardy et al., of a specific nucleic acid sequences and the corresponding amino acid sequences of specific sperm membrane proteins they encode, whose identification and characterization have permitted development of species-specific contraceptive and fertility compositions and methods.

8. Claims 1, 2, 4, 6, 7, 8 and 13-19 are rejected under 35 U.S.C. 103 (a) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567) in view of Calvet et al. (U.S. Patent 5,552,313) (September 3, 1996).

Herrero et al. et al teach suicide expression vector of claims 1, 2, 6, 8 and 13-19 as described above.

Herrero et al. do not teach the suicide expression vector wherein the first nucleotide sequence encodes an esterase capable of hydrolyzing organophosphates.

Calvet et al. teach the suicide expression vector wherein the first nucleotide sequence encodes a contraceptive antigen (Abstract, Example 12 and Column 5, line 20 to column 6, line 67).

It would have been *prima facie* obvious to one having ordinary skill in the art at the time the invention was made to substitute and combine the nucleotide sequence encoding an esterase

Art Unit: 1655

capable of hydrolyzing organophosphates of Calvet et al. with the suicide expression vector of Herrero et al. since Calvet et al state, "Knowledge of the mouse phosphotriesterase-related sequence will permit other mammalian genes and cDNAs to be isolated by using the mouse DNA as a hybridization probe to screen recombinant DNA libraries from other organisms, or by using an antibody to the mouse protein to screen protein expression libraries. Having genes or cDNAs from other organisms helps in determining the protein's functions and provide better reagents for human use (column 6, lines 7-14)". An ordinary practitioner would have been motivated to substitute and combine the. nucleotide sequence encoding an esterase capable of hydrolyzing organophosphates of Calvet et al. with the suicide expression vector of Herrero et al., in order to achieve the express advantages, as noted by Calvet et al., of a knowledge of the mouse phosphotriesterase-related sequence which will permit other mammalian genes and cDNAs to be isolated by using the mouse DNA as a hybridization probe to screen recombinant DNA libraries from other organisms, or by using an antibody to the mouse protein to screen protein expression libraries.

9. Claims 1, 2, 5, 6, 7, 8 and 13-19 are rejected under 35 U.S.C. 103 (a) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567) further in view of Kemp et al. (U.S. Patent 6,111,070) (August 29, 2000).

Herrero et al. teach suicide expression vector of claims 1, 2, 6, 8 and 13-19 as described above.

Art Unit: 1655

Herrero et al. do not teach the suicide expression vector wherein the first nucleotide sequence encodes an insecticidal toxin.

Kemp et al. teach the suicide expression vector wherein the first nucleotide sequence encodes an insecticidal toxin.(Abstract, Figures 1-4 and Column 13, line 37 to column 14, line 50 and Example 1).

It would have been *prima facie* obvious to one having ordinary skill in the art at the time the invention was made to substitute and combine the nucleotide sequence encoding an insecticidal toxin. of Kemp et al. with the suicide expression vector of Herrero et al. since Kemp et al state, "The introduction and expression of the structural gene for an insecticidal protein can be used to protect a crop from infestation with insect larvae of species which include, but are not limited to, hornworm, pink bollworm, European corn borer, tobacco budworm, and cabbage looper (Column 14, lines 25-31)". An ordinary practitioner would have been motivated to substitute and combine the. nucleotide sequence encoding an insecticidal toxin. of Kemp et al. with the suicide expression vector of Herrero et al., in order to achieve the express advantages, as noted by Kemp et al., of a structural gene for an insecticidal protein which can be used to protect a crop from infestation with insect larvae of species which include, but are not limited to, hornworm, pink bollworm, European corn borer, tobacco budworm, and cabbage looper.

10. Claims 1, 2, 6, 7, 8, 9 and 13-19 are rejected under 35 U.S.C. 103 (a) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567) in view of Barber et al. (U.S. Patent 6,043,077) (March 28, 2000).

Art Unit: 1655

Herrero et al. teach suicide expression vector of claims 1, 2, 6, 8 and 13-19 as described above.

Herrero et al. do not teach the suicide expression vector wherein the third nucleotide sequence encodes a ribozyme targeted against specific mRNA.

Barber et al. teach the suicide expression vector wherein a nucleotide sequence encodes a ribozyme targeted against specific mRNA. (Abstract, Figures 1-3 , Examples 1-9 and Column 7, line 64 to column 8, line 16).

It would have been *prima facie* obvious to one having ordinary skill in the art at the time the invention was made to substitute and combine the nucleotide sequence encoding a ribozyme targeted against specific mRNA of Barber et al. with the suicide expression vector of Herrero et al. since Barber et al state, "These vectors provide the advantage of providing multi functional therapy against HCV infection, preferably with the various therapies working together in synergy (Column 8, lines 10-12)". An ordinary practitioner would have been motivated to substitute and combine the nucleotide sequence encoding a ribozyme targeted against specific mRNA of Barber et al. with the suicide expression vector of Herrero et al., in order to achieve the express advantages, as noted by Barber et al., of vectors which provide the advantage of providing multi functional therapy against HCV infection, preferably with the various therapies working together in synergy.

Art Unit: 1655

11. Claims 1, 2, 6, 7, 8 and 10-19 are rejected under 35 U.S.C. 103 (a) over Herrero et al. (Journal of Bacteriology, (1990), Vol. 172, No. 11, pages 6557-6567) in view of Cameron et al. (U.S. Patent 6,143,518) (November 7, 2000).

Herrero et al. teach suicide expression vector of claims 1, 2, 6, 8 and 13-19 as described above.

Herrero et al. do not teach the suicide expression vector wherein the second promoter is placUV5 promoter or T7 RNA polymerase promoter.

Cameron et al. teach the suicide expression vector wherein the second promoter is placUV5 promoter or T7 RNA polymerase promoter. (Abstract, Figures 1-2 , Example 1 and Columns 4, line 60 to column 5, line 14).


It would have been *prima facie* obvious to one having ordinary skill in the art at the time the invention was made to substitute and combine the placUV5 promoter or T7 RNA polymerase promoter of Cameron et al. with the suicide expression vector of Herrero et al. since Cameron et al state, "This then makes it possible to induce RNA polymerase production in the cell in a controlled manner and, consequently, to control expression of the nucleic acid sequence of interest, which sequence is placed under the control of the promoter which is specific for the said RNA polymerase (Column 5, lines 6-11)". An ordinary practitioner would have been motivated to substitute and combine the placUV5 promoter or T7 RNA polymerase promoter of Cameron et al. with the suicide expression vector of Herrero et al., in order to achieve the express advantages, as noted by Cameron et al., of a vector which makes it possible to induce RNA

Art Unit: 1655

polymerase production in the cell in a controlled manner and, consequently, to control expression of the nucleic acid sequence of interest, which sequence is placed under the control of the promoter which is specific for the said RNA polymerase.


Conclusion

12. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Arun Chakrabarti, Ph.D., whose telephone number is (703) 306-5818. The examiner can normally be reached on 7:00 AM-4:30 PM from Monday to Friday. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gary Jones, can be reached on (703) 308-1152. The fax phone number for this Group is (703) 305-7401. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 308-0195.


Arun Chakrabarti,

Patent Examiner,

December 5, 2000


JEFFREY FRIEDMAN
PRIMARY EXAMINER

Application No.: 09/53072

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☐ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked-up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. This paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: _____

Applicant Must Provide:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☐ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

For PatentIn software help, call (703) 308-6856

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